

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. C1099-0C116
First Inventor Michael Gardner
Title Surveillance and Table Driven Reporting Tool
Express Mail Label No. E1363555702US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 17]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. Oath or Declaration [Total Sheets _____]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
name in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Attorney
(when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information:

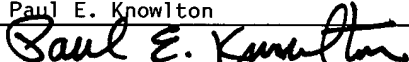
Examiner _____

Art Unit: _____

For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number: _____ OR ☒ Correspondence address below

| | | | | | |
|-------------------|---|-----------|-----------------------------------|--------------|--------------|
| Name | Paul E. Knowlton, Esq. | | | | |
| Address | Stites & Harbison, PLLC 400 West Market Street, Suite 1800 | | | | |
| City | Louisville | State | Kentucky | Zip Code | 40202-3352 |
| Country | USA | Telephone | 404-739-8834 | Fax | 404-739-8870 |
| Name (Print/Type) | Paul E. Knowlton | | Registration No. (Attorney/Agent) | 44842 | |
| Signature |  | | Date | 02 Sept 2003 | |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

22240 U.S. PTO
10/654188

09/02/03

17707 U.S. PTO
09/02/03

PTO/SB/17 (08-03)
Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 750.00

Complete if Known

Application Number
Filing Date
First Named Inventor Michael Gardner
Examiner Name
Art Unit
Attorney Docket No. C1099-0C116

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number 502752
Deposit Account Name Stites & Harbison

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|-------------------|--------------|----------|----------|------------------------|----------|
| | | 1001 | 750 | Utility filing fee | 750.00 |
| | | 1002 | 330 | Design filing fee | |
| | | 1003 | 520 | Plant filing fee | |
| | | 1004 | 750 | Reissue filing fee | |
| | | 1005 | 160 | Provisional filing fee | |
| SUBTOTAL (1) (\$) | | | | | |

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent | -20** = | X | |
| Multiple Dependent | -3** = | X | |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description |
|--------------|--------------|----------|----------|--|
| | | 1202 | 18 | Claims in excess of 20 |
| | | 1201 | 84 | Independent claims in excess of 3 |
| | | 1203 | 280 | Multiple dependent claim, if not paid |
| | | 1204 | 84 | ** Reissue independent claims over original patent |
| | | 1205 | 18 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|--|----------|
| | | 1051 | 130 | 2051 65 Surcharge - late filing fee or oath | |
| | | 1052 | 50 | 2052 25 Surcharge - late provisional filing fee or cover sheet | |
| | | 1053 | 130 | 1053 130 Non-English specification | |
| | | 1812 | 2,520 | 1812 2,520 For filing a request for ex parte reexamination | |
| | | 1804 | 920* | 1804 920* Requesting publication of SIR prior to Examiner action | |
| | | 1805 | 1,840* | 1805 1,840* Requesting publication of SIR after Examiner action | |
| | | 1251 | 110 | 2251 55 Extension for reply within first month | |
| | | 1252 | 410 | 2252 205 Extension for reply within second month | |
| | | 1253 | 930 | 2253 465 Extension for reply within third month | |
| | | 1254 | 1,450 | 2254 725 Extension for reply within fourth month | |
| | | 1255 | 1,970 | 2255 985 Extension for reply within fifth month | |
| | | 1401 | 320 | 2401 160 Notice of Appeal | |
| | | 1402 | 320 | 2402 160 Filing a brief in support of an appeal | |
| | | 1403 | 280 | 2403 140 Request for oral hearing | |
| | | 1451 | 1,510 | 1451 1,510 Petition to institute a public use proceeding | |
| | | 1452 | 110 | 2452 55 Petition to revive - unavoidable | |
| | | 1453 | 1,300 | 2453 650 Petition to revive - unintentional | |
| | | 1501 | 1,300 | 2501 650 Utility issue fee (or reissue) | |
| | | 1502 | 470 | 2502 235 Design issue fee | |
| | | 1503 | 630 | 2503 315 Plant issue fee | |
| | | 1460 | 130 | 1460 130 Petitions to the Commissioner | |
| | | 1807 | 50 | 1807 50 Processing fee under 37 CFR 1.17(q) | |
| | | 1806 | 180 | 1806 180 Submission of Information Disclosure Stmt | |
| | | 8021 | 40 | 8021 40 Recording each patent assignment per property (times number of properties) | |
| | | 1809 | 750 | 2809 375 Filing a submission after final rejection (37 CFR 1.129(a)) | |
| | | 1810 | 750 | 2810 375 For each additional invention to be examined (37 CFR 1.129(b)) | |
| | | 1801 | 750 | 2801 375 Request for Continued Examination (RCE) | |
| | | 1802 | 900 | 1802 900 Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$

SUBMITTED BY

Name (Print/Type) Paul E. Knowlton Registration No. 44842 Telephone 404-739-8834
Signature Date 02 Sept 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

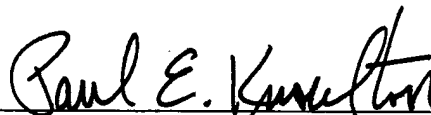
| | | | |
|---|------------------------|--|-----------------|
| NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i) | First Named Inventor | | Michael Gardner |
| | Title | Surveillance and Table Driven Reporting Tool | |
| | Attorney Docket Number | | CI099-0C116 |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

02 Sept 2003

Date



Signature

404-739-8834

Telephone number

Paul E. Knowlton / USPTO 44842

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

This collection of information is required by 37 CFR 1.213(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

CERTIFICATE OF EXPRESS MAILING

Inventors: Michael Gardner
Brad Snyder
Todd Zeiler

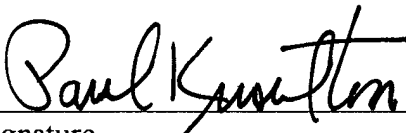
Title: SURVEILLANCE AND TABLE DRIVEN REPORTING TOOL

Atty. Docket: CI099.0CI16

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as Express Mail #EI36355702US in an envelope addressed to:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

On September 2, 2003.


Signature

Paul E. Knowlton
Typed or printed name of person signing Certificate

Enclosures:

- Utility Application for Patent Cover Sheet
- Utility Patent Application including:
 - 2 sheets of claims
 - 10 sheets of drawings
 - 17 sheets of specification
- Nonpublication Request
- Fee Transmittal
- Check totaling \$750.00
- Return postcard